



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ross L. Stevens

Serial Number: 10/711,889

Filed: October 12, 2004

Group Art Unit: 3624

Examiner: Unassigned

Confirmation No. 5888

For: METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES

Commissioner for Patents  
 PO Box 1450  
 Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97

It is respectfully requested that the document(s) listed on the attached Form PTO/SB/08A be considered by the Patent and Trademark Office in the above-referenced application and made of record therein. Full text copies of the relevant documents are enclosed.

Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. 37 CFR § 1.97(e)(1).

Respectfully submitted,

By:

Steven B. Phillips  
 Registration No. 37,911  
 Attorney for Applicant  
 Moore & Van Allen, PLLC  
 430 Davis Dr., Suite 500  
 Morrisville, NC 27560-6832  
 Phone: 919-286-8000  
 Facsimile: 919-286-8199

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the US Postal Service as first class mail on January 12, 2006, in an envelope addressed to Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450.

Patricia L. Pontello  
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Substitute for form 1449A/PTO		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	10/711,889
(use as many sheets as necessary)		Filing Date	October 12, 2004
		First Named Inventor	Ross L. Stevens
Sheet	1	of	<<TEXT>>
		Attorney Docket Number	014033-000037

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

## NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
J.P.	AB	Stevens et al., "International Application No. PCT/US05/14663", <u>Written Opinion</u> , (Jan. 5, 2006)
J.P.	AC	Stevens et al., "International Application No. PCT/US05/14663", <u>International Search Report</u> , (Jan. 5, 2006)

Examiner Signature	/John Preston/	Date Considered	08/31/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (by the USPTO to process) an application. Confidentiality is governed by 37 CFR 1.22 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Comptroller for Ratsch, R.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH / LP /